



In The United States Patent and Trademark Office

Serial Number: 10/080,855
Applicants: Kenneth Hu
Filing Date: 02/22/2002
Title: Method of Evaluating Security Trading Capacity

Examiner: M. Gones
Group Art Unit: 3628
Docket No.: USP1264A-KH2

3628\$
#4
11/10/03

Date: October 21, 2003

Submission Insufficient Filing Fee

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In response to the a communication from the Patent Office regarding Informality Regarding Payment of Fee, the applicant respectfully submits herewith a check in the amount of \$42.00 for the additional claims submitted on July 25, 2002.

The Commissioner is hereby authorized to charge or credit any overpayment to the following deposit account: Account Name: David and Raymond Patent Firm; Account No.: 502111.

Please accept these payments and continue the prosecution of the application. Thank you for your assistance.

Respectfully submitted,

Raymond Y. Chan
Reg. Nr.: 37,484
c/o 108 N. Ynez Ave., Suite 128
Tel.: (626)571-9812
Fax: (626)571-9813

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GROUP 3600

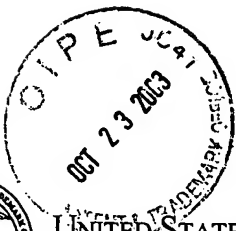
Certification of Mailing

I certify that this correspondence will be deposited with the United States Postal Service as first class mail with proper postage affixed in an envelope addressed to: "Commissioner of Patents, Alexandria, VA 22313-1450," on the date below.

Mail Date: October 21, 2003

Signature:
Person Signing: Raymond Y. Chan

10/20/2003 BSAYAS11 00000051 502111 10000855
01 FC:2201 1.00 DA 42.00 OP



UNITED STATES PATENT AND TRADEMARK OFFICE

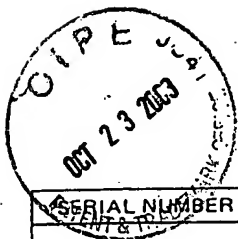
UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/080,855	02/22/2002	Kenneth Hu	USP1264A-KH2	9736
7590 10/14/2003				
RAYMOND Y. CHAN 1050 OAKDALE LANE ARCADIA, CA 91006				
EXAMINER NGUYEN, NGA B				
ART UNIT 3628		PAPER NUMBER		

DATE MAILED: 10/14/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

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UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

SERIAL NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO.

EXAMINER	
ART UNIT	PAPER NUMBER

DATE MAILED:

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OCT 30 2003

GROUP 3600

INFORMALITY RE PAYMENT OF FEE

The informality regarding the payment of the fee in connection with ☐ the original filing fee ☐ the amendment filed 7/25/02 is indicated below.

A. FEE DUE

1. ☐ The amendment is considered incomplete in that the funds in Deposit Account No. _____ are insufficient to cover the entire fee due. The balance is due within the period set below.
2. ☐ The amendment is considered an incomplete response, in that payment of \$ _____ is insufficient to cover the claims as shown in the attached Patent Application Fee Determination Record. Remittance is due within the period set below.
3. ☐ The amendment has not been entered, since applicant has failed to remit (or authorize charge to a Deposit Account) the fee as indicated on the attached Patent Application Fee Determination Record. Remittance or authorization is due within the period set below.
4. ☐ The filing fee of \$ _____ submitted in this application is insufficient.
A balance of \$ \$ 42.00 is due for additional claims.
5. ☐

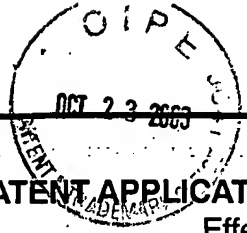
APPLICANT IS GIVEN THE REMAINDER OF THE SET PERIOD FOR RESPONSE, OR ONE (1) MONTH FROM THE DATE OF THIS LETTER, WHICHEVER IS LONGER, WITHIN WHICH TO REMIT THE FEE OF \$ \$ 42.00

B. EXCESS PAYMENT:

5. ☐ It is noted that payment of \$ _____ is in excess of the amount necessary to cover the claims now in the application. See the attached Patent Application Fee Determination Record.

This matter of refund or credit to your account is being referred to the Finance Officer, for his consideration.

M. Jones
CLERK OF GROUP



PATENT APPLICATION FEE DETERMINATION RECORD
Effective October 1, 2001

Application or Docket Number

USP 1264A-KH2

CLAIMS AS FILED - PART I

(Column 1)

OCT 30 2003

SMALL ENTITY TYPE ☐ OR

OTHER THAN SMALL ENTITY

TOTAL CLAIMS	54	
FOR	NUMBER FILED	NUMBER EXTRA
TOTAL CHARGEABLE CLAIMS	54 minus 20 =	34
INDEPENDENT CLAIMS	3 minus 3 =	
MULTIPLE DEPENDENT CLAIM PRESENT <input type="checkbox"/>		

RATE	FEE	OR	RATE	FEE
BASIC FEE	370.00	OR	BASIC FEE	740.00
X\$ 9=	306	OR	X\$18=	
X42=		OR	X84=	
+140=		OR	+280=	
TOTAL	676	OR	TOTAL	

* If the difference in column 1 is less than zero, enter "0" in column 2

CLAIMS AS AMENDED - PART II

(Column 1)

(Column 2)

(Column 3)

AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total	* 54	Minus	** 54 = 2
	Independent	* 4	Minus	*** 3 = 1
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>			

SMALL ENTITY	OR	OTHER THAN SMALL ENTITY		
RATE	ADDITIONAL FEE	OR	RATE	ADDITIONAL FEE
X\$ 9=	18.00	OR	X\$18=	
X42=	42	OR	X84=	
+140=		OR	+280=	
TOTAL ADDIT. FEE	42	OR	TOTAL ADDIT. FEE	

(Column 1)

(Column 2)

(Column 3)

AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total	*	Minus	** =
	Independent	*	Minus	*** =
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>			

SMALL ENTITY	OR	OTHER THAN SMALL ENTITY		
RATE	ADDITIONAL FEE	OR	RATE	ADDITIONAL FEE
X\$ 9=		OR	X\$18=	
X42=		OR	X84=	
+140=		OR	+280=	
TOTAL ADDIT. FEE		OR	TOTAL ADDIT. FEE	

(Column 1)

(Column 2)

(Column 3)

AMENDMENT C	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total	*	Minus	** =
	Independent	*	Minus	*** =
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>			

SMALL ENTITY	OR	OTHER THAN SMALL ENTITY		
RATE	ADDITIONAL FEE	OR	RATE	ADDITIONAL FEE
X\$ 9=		OR	X\$18=	
X42=		OR	X84=	
+140=		OR	+280=	
TOTAL ADDIT. FEE		OR	TOTAL ADDIT. FEE	

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.

** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20."

*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3."

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.